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Docket No.: 1232-4755

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s)** : YOKOTA et al.  
**Serial No** : 09/925,856 **Group Art Unit:** 2851  
**Filed** : August 9, 2001 **Examiner:** TBD  
**For** : IMAGE SENSOR AND IMAGE READING APPARATUS

**CERTIFICATE OF MAILING (37 C.F.R. §1.8(a))**

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SEP 11 2003

Technology Center 2600

Sir:

I hereby certify that the attached:

1. Information Disclosure Statement,
2. Form PTO-1449 and copies of fourteen references, three Japanese Office Actions and eight English Abstracts cited therein, and
3. Concise Explanation of Relevance, and
4. Return Receipt Postcard

along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: September 5, 2003

By:

Stephen J. Manetta  
Registration No. 40,426

**Correspondence Address:**

MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, NY 10154-0053  
(212) 758-4800 Telephone  
(212) 751-6849 Facsimile



Docket No. 1232-4755

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): YOKOTA et al.

Group Art Unit: 2851

Serial No.: 09/925,856

Examiner: To be assigned

Filed: August 9, 2001

For: IMAGE SENSOR AND IMAGE READING APPARATUS

**INFORMATION DISCLOSURE STATEMENT**

**RECEIVED**

SEP 11 2003

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Technology Center 2600

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☒ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:  
JPU 5-025871, JPA 5-167053, JPA 7-162587, JPA 7-203129, JPA 8-172512, JPA 10-271278, JPA 11-055464, JPA 11-084544, JPA 2000-125081, JPA 1-171363, JPA 2000-115470 and JPU 63-125461.
2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.
3. ☐ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.
4. ☒ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:  
☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of a national application other than a CPA; or

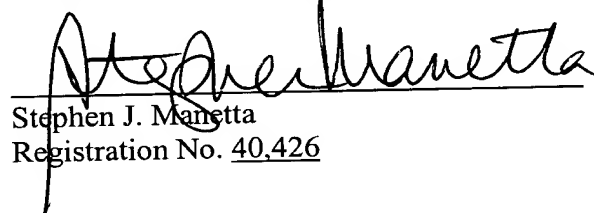
- ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application; or
- ☒ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits; or
- ☐ 37 C.F.R. §1.97(b)(4) before the mailing date of a first office action after the filing of an RCE under §1.114.
5. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.
6. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):
- ☐ A check in the amount of \$180.00 is enclosed in payment of the fee.
- ☐ Charge the fee to Deposit Account No. 13-4500, Order No. \_\_\_\_\_. A  
DUPLICATE COPY OF THIS SHEET IS ATTACHED.
7. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
- b. the fee due under 37 C.F.R. §1.17(p) which is paid as set forth in paragraph 11 below.
8. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:
- a. ☐ 37 C.F.R. §1.313(b)(3) or §1.313(c)(1), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h);
- b. ☐ 37 C.F.R. §1.313(c)(2) or §1.313(c)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Request for Continued Examination (RCE) or a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h).

- c. ☐ The fees due under 37 C.F.R. §§1.17(h) and 1.17(p) are paid as set forth in paragraph 11 below.
9. ☐ I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
10. ☐ This document is accompanied by ☐ a Search Report ☐ Communication which was cited in a corresponding ☐ PCT or ☐ Foreign counterpart application
11. ☐ A check in the amount of \$ \_\_\_\_\_ is enclosed in payment of the fees due under 37 C.F.R. §§1.17(h) and 1.17(p).
- ☐ Charge the fees due under 37 C.F.R. §§1.17(h) and 1.17(p) to Deposit Account No. 13-4500, Order No. \_\_\_\_\_. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500, Order No. 1232-4755. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: September 5, 2003

By:

  
Stephen J. Manetta  
Registration No. 40,426

Correspondence Address:

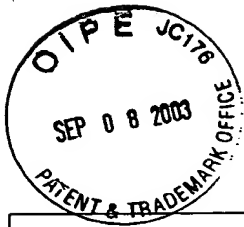
MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, NY 10154-0053  
(212) 758-4800 Telephone  
(212) 751-6849 Facsimile



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<b>FORM PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION</b>			Attorney Docket: 1232-4755		Serial No.: 09/925,856		
			Applicant: YOKOTA et al.				
			Filing Date: August 9, 2001		Group Art Unit: To be assigned		
<b>U.S. PATENT DOCUMENTS</b>							
<b>Examiner Initial</b>		<b>Patent Number</b>	<b>Publication Date</b>	<b>Name</b>	<b>Class</b>	<b>Sub- Class</b>	<b>Filing Date</b>
<b>FOREIGN PATENT DOCUMENTS</b>							
<b>Examiner Initial</b>		<b>Patent Number</b>	<b>Publication Date</b>	<b>Country</b>	<b>Class</b>	<b>Sub- Class</b>	<b>Translation</b>
	K	2000-115470 A	4/21/00	Japan	H04N	1/04	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	L	63-125461	8/16/88	Japan	H04N	1/028	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>OTHER DOCUMENTS (Including Author, Title, Date, etc.)</b>							
	GG	English Abstract for JPA 10-271278.					
	HH	English Abstract for JPA 11-084544.					
	II	English Abstract for JPA 2000-125081.					
Examiner				Date Considered			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.							



<b>FORM PTO-1449</b> <b>INFORMATION DISCLOSURE CITATION</b>			Attorney Docket: 1232-4755		Serial No.: 09/925,856		
			Applicant: YOKOTA et al.				
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<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initial		Patent Number	Publication Date	Name	Class	Sub- Class	Filing Date
<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initial		Patent Number	Publication Date	Country	Class	Sub- Class	Translation
							<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>OTHER DOCUMENTS (Including Author, Title, Date, etc.)</b>							
	JJ	English Abstract for JPA 1-171363.					
	KK	English Abstract for JPA 2000-115470.					
Examiner				Date Considered			
<b>EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP §609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.							





Docket No. 1232-4755

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Applicant(s): YOKOTA et al.

Group Art Unit: 2851

Serial No.: 09/925,856

Examiner: To be assigned

Filed: August 9, 2001

For: IMAGE SENSOR AND IMAGE READING APPARATUS

**CONCISE EXPLANATION OF RELEVANCE**

**RECEIVED**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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Technology Center 2600

Sir:

As referenced in the accompanying Information Disclosure Statement filed concurrently herewith, this Concise Explanation Of Relevance is being submitted in support thereof.

For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is provided as follows:

PTO-1449 Item No.	Japanese Reference No.	Concise Explanation of Relevance Provided	
			PTO-1449 Item No.
A	5-025871	See Below.	--
B	5-167053 A	English Abstract	DD
C	7-162587	Corresponds to USP 5,581,076	1
D	7-203129 A	English Abstract	EE
E	8-172512 A	English Abstract	FF
F	10-271278 A	English Abstract	GG
G	11-055464	Corresponds to USP 6,259,082	2
H	11-084544	English Abstract	HH
I	2000-125081 A	English Abstract	II
J	1-171363	See Below.	--
K	2000-115470 A	See Below.	RECEIVED SEP 11 2003
L	63-125461	See Below.	

**PTO 1449 Item A -Japanese Reference 05-025871**

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Japanese Utility Model No. 5-25871 (D4) discloses that an image reading unit having a light source for illuminating an original and an image sensor for reading a reflected light from the original is slidably mounted on a slide shaft and can go under the frame which supports the ends of a transparent plate of the image reading apparatus when the image reading unit is moved to the end of the slide shaft in the sub scanning direction.

However, in contrast to the present invention, there is no description in this reference that a structure for preventing external light which enters through the transparent plate for supporting an original is provided on a light guide of a light source.

**PTO 1449 Item J -Japanese Reference 1-171363**

Japanese Patent Publication No. 01-171363 (D1) discloses a copying machine which projects light from a light source toward a position separated from a position where the optical axis of a lens crosses the upper surface of an original platen glass in the upper or lower direction by a constant distance. It further discloses where the peak intensity (peak position) of the light source (i.e., position where the amount of light is maximum) is to be set (see Fig. 3, for instance).

Because D1 has a configuration for illuminating an original from one side with respect to the optical axis of the lens, it is possible to illuminate an original with a good amount of light at the peak position if the peak position is set at a position slightly above the upper surface of the original platen glass. However, at a position even slightly below or above the peak position on the optical axis of the lens, the amount light rapidly decreases, which prevents illumination of a document with a sufficient amount of light.

Furthermore, D1 does not disclose forming a light flux intersection area where two light fluxes emitted from a pair of light sources intersect. If it is assumed that two light sources are employed, the distribution curve of the amount of light will show a very narrow effective light amount range, which again results in a rapid change in intensity with respect to a distance from the original platen glass.

**PTO 1449 Item K -Japanese Reference 2000-115470**

Japanese Patent Publication No. 2000-115470 (D3) discloses providing a pair of light sources. D3 realizes a wide illumination range by arranging two planer light sources having a flat intensity distribution characteristic with no peak as show in Fig. 1. D3 does disclose to form a light flux intersection area by intersecting two light fluxes emitted from a pair of light sources. However, D3 is fundamentally different from the present application in that each

light source does not have peak intensity, and the technique disclosed in D3 is different from that of solving a problem caused by the peak intensity of each light source as in the present application. Moreover, D3 is silent about an effective light amount range in the light flux intersection area.

Thus, the configuration of this reference does not specify the peak position of two light sources in an effective light amount range within a light flux intersection area. Furthermore, the positional relationship between the peak position of the effective light amount area and the focus point (or the surface of a platen member) of the focusing lens are not specified.

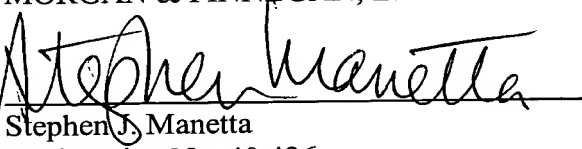
**PTO 1449 Item L -Japanese Reference 63-125461**

Japanese Utility Model No. 63-125461 (D2) discloses providing a pair of light sources. D2 is aimed at facilitating assembling of an image reading apparatus, and is not directed to solving a problem regarding a narrow light amount peak formed by two light sources. Thus, there is no apparent technical relationship between D2 and the claimed present invention.

Should additional information be required, the Examiner is invited to contact the undersigned.

Dated: September 5, 2003

Correspondence Address:  
MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, NY 10154-0053  
(212) 758-4800 Telephone  
(212) 751-6849 Facsimile

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.  
By:   
Stephen J. Manetta  
Registration No. 40,426